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10/021,550	12/18/2001	Toshimichi Kishimoto	62807-023	9299

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EXAMINER

POLTORAK, PIOTR

ART UNIT PAPER NUMBER

2134

DATE MAILED: 05/19/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

10/021,550

Applicant(s)

KISHIMOTO ET AL.

Examiner

Peter Poltorak

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 18 December 2001.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some * c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Claims 1-20 have been examined.

Priority

2. Foreign priority has been claimed in this application.
3. Acknowledgment is made of applicant's claim for foreign priority based on an application filed in Japan on 04/25/2001.

Specification

4. The disclosure is objected to because of lack of consistency. The specification uses drawings to illustrate the invention. Fig. 2- 5 are explicitly discussed in relation to the invention's. However, there is no mention of Fig. 1 even though objects of Fig. 1 seem to be addressed.

Appropriate correction is required.

Claim Objections

5. The phrase "an interface creating step of creating interfaces for the manager if said certifying step succeeds the certification of the second manager password and the second password succeeds" in claim 9 introduces unnecessary confusion and should be rewritten.
6. "The management object" is a singular noun and as a result the verb "creates" instead of "create" should follow.
7. In multiple claims applicant uses word "certify" but the specification indicates that applicant refers to the authentication process (*e.g. the specification, pg. 8*). The

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term "certification" has a special meaning in the art and it should not be used as a substitute for authentication.

Claim Rejections - 35 USC § 112

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

8. Claims 1-20 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter that applicant regards as the invention.
9. "The second password" in claims 1, 9 and 17 lacks antecedent basis.
10. Claims 1, 9 and 17 address certification of a second manager ID and a second manager password but in the second part of the claim the certification is addressed to the second manager password and the second password. The claim limitation is not understood.
11. Claims 1 and 17 recite: "a management object for controlling a request from a manager which manages a data file to be accessed by a user". It is unclear whether it is the management object or the manager that manages a data file to be accessed by a user.

The term is treated as though the management was designated to the management object.
12. Claim 1 recites: "said management object certifying a second managerID and a second manager password received from the manager, in accordance with a first ID

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and a first password stored beforehand" and it is followed by claim 3 that states: "a corresponding cipher key to the manager certified by the second managerID and the second password". It appears that claim 1 names "the second managerID" and "the second manager password" as subject of the certification wherein claim 3 names "the manager" as the object of the certification.

As a result "the certified manager" (the last line in claim 1) lacks antecedent basis.

For purposes of further examination the phrase is understood that certification of the second managerID and the second manager password is equivalent to the certification of the manager.

13. Claims 9, 11, 17 and 19 pose the same issue and as a result they are similarly interpreted.

14. Claims 1 and 17 suggest that "the certified manager" is permitted an access.

However, it is not clear whether the access is directed towards files, interfaces or something else.

15. Claims 4, 12 and 20 (*as best understood*) raise antecedent basis issues. The claim language directs certification towards "another manager ID" and "another password" but uses the phrase "the certified other manager", as though "the manager" was the subject of the certification. Furthermore since "another" is used as a noun reciting "the certified other manager", it introduces unnecessary confusion.

16. Claims 5 and 13 are not understood. The sentences are not grammatically correct and as a result the limitations are not clear. For purposes of further examination an attempt at the best interpretation is made but the limitations must be clarified.

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17. Furthermore claim 5 and 13 introduce the notion of functions that are performing no steps: "a function of not creating the interfaces". The limitation should specify what invention components do rather what they don't.

18. Claims 2, 5-8, 10, 13-16, 18 are rejected by the virtue of their dependence.

Appropriate correction is required.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

19. Claims 9 and 16 are rejected under 35 U.S.C. 102(e) as being anticipated by *Harter et al.* (U.S. Patent No. 6212564).

20. *Harter et al.* teach a step wherein a servlet running on the server receives the request for the applet launcher page based on the user identifier, password and device type. The servlet validates the user identifier and password and if they are valid the servlet generates or selects the applet launcher HTML page, which is optimal for the requested device. The servlet then returns the applet launcher page to the client (*Fig. 2 and col. 4 lines 14-22*). This reads on a certifying step of certifying a second manager ID and a second password received from a manager, in accordance with a first ID and a first password stored beforehand; an interface

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creating step of creating interfaces for the manager if said certifying step succeeds the certification of the second manager password and the second password succeeds.

21. Col. 3 line 52 – col. 4 line 13 reads on the limitation of claim 16.

22. Claims 1-2, 4, 8-10, 12, 16-18 and 20 are rejected under 35 U.S.C. 102(e) as being anticipated by *Huang* (U.S. Patent No. 6192361).

23. As per claims 9 and 16 *Huang* teaches steps of a browser on a remote computer accessing remote server, the remote server providing the remote computer with java applet that is used to communicate ID and password to the system manager; system security manager verifying user id and password against database of IDs and passwords, and if id and password are valid GUI Launcher is launched (*Fig. 2 and col. 7 lines 9-24*).

Furthermore *Huang* teaches System Management Interface (56) and Servers (60), in conjunction with the GUI Launcher (8) that permits users to access and communicate with the system (230) (*Fig. 1 and col. 8 line 34- col. 9 line 6*).

This reads on a certifying step of certifying a second manager ID and a second password received from a manager, in accordance with a first ID and a first password stored beforehand; an interface creating step of creating interfaces for the manager if said certifying step succeeds the certification of the second manager password and the second password succeeds and on transmitting a Java applet program from a Java virtual machine to the manager in response to a request from the manager.

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24. As per claims 1-2, 4, 10, 12, 17-18, 20 *Huang* teaches that the system is used by multiple users (*col. 2 lines 38-42, col. 6 lines 13-15, etc.*), and that when the remote computer terminates the logon session the remote computer does not retain java applet (*col. 7 lines 59-65*) and that interfaces expire after a predetermined time (*col. 15 lines 43*).

25. Claim 8 is substantially equivalent to claim 16; therefore claim 8 is similarly rejected.

26. Claims 9 and 16 are rejected under 35 U.S.C. 102(e) as being anticipated by

Moshfeghi (U.S. Patent No. 6476833).

27. Moshfeghi teaches a user entering authentication information (a user ID and a password). The application then authenticates the user and the user's access rights by, for example, invoking authentication methods on tier 2 servers which access information in the user directory and compare it to entered authenticating information. After authentication, user profile records are loaded to the memory of the end-user device. The application then displays a window configured according to directions in the loaded user profile records and the user commences application interaction with the application specific controls.

This reads on a certifying step of certifying a second manager ID and a second password received from a manager, in accordance with a first ID and a first password stored beforehand; an interface creating step of creating interfaces for the manager if said certifying step succeeds the certification of the second manager password and the second password succeeds (*col. 12 line 58 – col. 13 line 15*).

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

28. Claims 1-2, 4, 8, 10, 12, 17-18 and 20 are rejected under 35 U.S.C. 103(a) as being unpatentable over *Harter et al.* (U.S. Patent No. 6212564) in view of *Howell et al.* (U.S. Patent No. 5450593).

29. As per claims 1 and 17 *Harter et al.* teach creating interfaces by the management object permitting an access to files as discussed above.

Harter et al. do not explicitly teach the interfaces to be expired after a predetermined time. However, the importance of revoking of access after some predetermined time is well known in the art. For example, *Stallings* teach access revocation after predetermined time and provides a motivation for implementing such a measure (*Stalling*, pg. 328).

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to expire the interfaces after a predetermined time as taught by *Stallings*.

One of ordinary skill in the art would have been motivated to perform such a modification in order to increase system's security.

30. As per claims 2, 10 and 18 *Harter et al.* do not explicitly teach the interfaces to be expired after a received log-out.

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Official Notice is taken that it is old and well-known practice to expire (the access) interfaces after a log-out has been received (e.g. *Web session log-out finishes the session*). One of ordinary skill in the art at the time of applicant's invention would expire interfaces after a log-out has been received in order to prevent any potential attacks or an unauthorized access.

31. Limitations of claims 4, 12 and 20 are implicit. A storage management should be able to handle many requests.

32. Col. 3 line 52 – col. 4 line 13 reads on the limitation of claim 8.

33. Claims 3, 11 and 19 are rejected under 35 U.S.C. 103(a) as being unpatentable over *Harter et al.* (U.S. Patent No. 6212564) in view of *Howell et al.* (U.S. Patent No. 5450593) and in further view *Stein* (Lincoln D. Stein, "Web Security, a step-by-step reference guide", 1998, ISBN: 0201634899).

34. *Harter et al.* in view of *Howell et al.* teach the manager accessing the interfaces received from the management object as discussed above.

Harter et al. in view of *Howell et al.* do not teach that the management object transmits a corresponding cipher key to the manager certified by the second managerID and the second password, and the manager accesses the interfaces by using the cipher key.

Stein teaches a cipher key exchange to secure a session and communication parties communicating in encrypted mode (*Stein, Fig. 3.2 and pg. 41-42*). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to configure the management object to transmit a corresponding cipher key to the

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manager certified by the second managerID and the second password (*exchange cipher keys*), and the manager accesses the interfaces by using the cipher key (*switch into encrypted mode*) as taught by *Stein*. One of ordinary skill in the art would have been motivated to perform such a modification in order to ensure data confidentiality.

35. Claims 5 and 13 are rejected under 35 U.S.C. 103(a) as being unpatentable over *Harter et al.* (U.S. Patent No. 6212564) in view of *Howell et al.* (U.S. Patent No. 5450593) and in further view of *Ludwig et al.* (U.S. Pub. 20020198829).

36. *Harter et al.* in view of *Howell et al.* teach creating interfaces by the management object by permitting an access to files as discussed above.

Harter et al. in view of *Howell et al.* do not teach not creating the interfaces if a non-use period from the most recent log-out of the manager exceeds a predetermined period when the second manager ID and the second password are certified.

Ludwig et al. teach disabling accounts after a predetermined time of inactivity (*Ludwig et al.* [51]), which reads on not creating the interfaces if a non-use period from the most recent log-out of the manager exceeds a predetermined period when the second manager ID and the second password are certified.

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to not create the interfaces if a non-use period from the most recent log-out of the manager exceeds a predetermined period when the second manager ID and the second password are certified as taught by *Ludwig et al.* One of ordinary skill in

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the art would have been motivated to perform such a modification in order to maintain the system's security.

37. Claims 1-2, 6, 10, 14 and 17 are rejected under 35 U.S.C. 103(a) as being unpatentable over *Moshfeghi* (U.S. Patent No. 6476833) in view of *Stein* (Lincoln D. Stein, "Web Security, a step-by-step reference guide", 1998, ISBN: 0201634899).

38. *Moshfeghi* teaches the manager accessing the interfaces received from the management object as discussed above.

As per claims 1 and 17 *Moshfeghi* does not explicitly teach the interfaces to be expired after a predetermined time. However, the importance of revoking of access after some predetermined time is well known in the art. For example, *Stallings* teaches access revocation after a predetermined time and provides a motivation for implementing such a measure (*Stalling*, pg. 328).

39. It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to expire the interfaces after a predetermined time as taught by *Stallings*. One of ordinary skill in the art would have been motivated to perform such a modification in order to increase the system's security

40. As per claims 6 and 14 *Moshfeghi* teaches that information exchange utilizes RMI (col. 5 lines 21-31). Furthermore *Moshfeghi* teaches that requests from the client applications to the business-server objects are intercepted by access decision facility, which checks whether the requesting user, who has the particular access control information stored in the user directory, is authorized to access the

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information requested in view of the access control policies stored in the access control policy database (*col. 8 lines 58-65*).

This reads on an information file from storing a plurality of functions of a RMI and a plurality of flags for defining which manager is permitted to use which function.

41. As per claims 2 and 10 *Moshfeghi* teaches logoff functionality (*col. 13 lines 36-37*).

42. Claims 7 and 15 are rejected under 35 U.S.C. 103(a) as being unpatentable over *Moshfeghi* (U.S. Patent No. 6476833) in view of *Stein* (Lincoln D. Stein, "Web Security, a step-by -step reference guide", 1998, ISBN: 0201634899) and in further view of *Cabrera et al.* (U.S. Patent No. 6029160).

43. *Moshfeghi* and *Stein* teach a system as discussed above.

Moshfeghi and *Stein* do not teach implementing a flag for temporarily stopping the use of the created interfaces in response to a maintenance request.

Cabrera et al. teach implementing implement a flag for temporarily stopping the use of objects in response to maintenance (*Cabrera et al. col. 6 lines 39-43*).

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to implementing a flag for temporarily stopping the use of the created interfaces in response to a maintenance request as taught by *Cabrera et al.* One of ordinary skill in the art would have been motivated to perform such a modification in order to prevent any undesirable effects of accessing objects under maintenance.

Conclusion


Any inquiry concerning this communication or earlier communications from the examiner should be directed to Peter Poltorak whose telephone number is

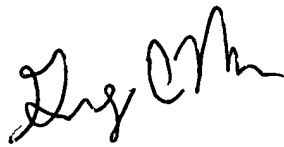
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(571)272-3840. The examiner can normally be reached Monday through Thursday from 9:00 a.m. to 4:00 p.m. and alternate Fridays from 9:00 a.m. to 3:30 p.m.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gregory Morse can be reached on (571) 272-3838. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).


5/13/05


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